UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/885,234	06/19/2001	Christopher J. Cormack	42390.P11396	4422

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EXAMINER
LEMMA, SAMSON B

ART UNIT	PAPER NUMBER
2132	

DATE MAILED: 03/23/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No.		Applicant(s)	
	09/885,234		CORMACK ET AL.	
	Examiner		Art Unit	
	Samson B Lemma		2132	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *19 June 2001*.
2a)☐ This action is **FINAL**.   2b)☒ This action is non-final.
3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-27* is/are pending in the application.
    4a) Of the above claim(s) _____ is/are withdrawn from consideration.
5)☐ Claim(s) _____ is/are allowed.
6)☒ Claim(s) *1-27* is/are rejected.
7)☐ Claim(s) _____ is/are objected to.
8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.
10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.
    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
    a)☐ All   b)☐ Some * c)☐ None of:
      1.☐ Certified copies of the priority documents have been received.
      2.☐ Certified copies of the priority documents have been received in Application No. _____.
      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)
2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3)☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
    Paper No(s)/Mail Date <u>4</u>.

4)☐ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. _____ .
5)☐ Notice of Informal Patent Application (PTO-152)
6)☐ Other: _____.

DETAILED ACTION

1.   **Claims 1-27** have been examined.

Claim Rejections - 35 USC § 102

2.   The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form

the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3.   **Claims 1-27** are rejected under 35 U.S.C. 102(e) as being anticipated by **Kathrow et**

al. (hereinafter referred as **Kathrow**)(U.S. Patent No. 6,263,348)

4.   **As per claims 1-2,7-11 and 16-18** **Kathrow** discloses a method comprising:

- **Generating a user identity value [hash Value of the user Password]**

   associated with a user identity; (In Microsoft operating system, in the process of

   authentication, generation of a user identity value or the hash value of the user

   password is inherently included. For NT, user enters their password and the clients

   hashes the user's password, and generates the hash value or the user identity value

   and encrypts the server's challenge with this hash and sends two responses to the

   server: One response uses the LAN Manager hash and another response uses the

stronger NT hash. The server then compares the client's response hash with the client's

hash in the SAM Registry hive.)(For the source/explanation that the examiner used, see

reference U, page 2, second paragraph)

• **Storing the user identity value [hash value of the user password]**; (Storing

the **client's hash** or **the user identity value** or **the hash value of the user password**,

in the SAM Registry as explained above for the purpose of authentication is inherently

included in the Microsoft operating system, NT) (For the explanation/source that the

examiner used See reference U, page 2, second paragraph)

Furthermore **Kathrow** discloses

• **Generating a registry security value [Fingerprint of the registry file/s**

which includes hash value of the Windows registry file/s] associated with a

system registry; [column 5, lines 11-25; column 4, lines 26-column 5, line 25;

figure 2, ref. Num "222" and "232"]

• **Storing the registry security value**; [Column 5, lines 11-26; figure 2, ref. Num

"232"] (content storage stores the fingerprint of the file shown on figure 2, ref.

Num "232") and

• **Authenticating the system registry after reading the system registry**.(As

explained in the disclosure and on the dependent claim 5, this limitation

comprises

• **Generating a new registry security value [Fingerprint of the registry file/s**

which includes hash value of the Windows registry file/s]; [Column 5, lines

41-62; figure 2, ref. Num "234"] (The new registry finger print is generated and

stored on storage shown on figure 2, ref. Num "234"]

- **Comparing the new registry security value with the stored registry security value**; [Column 6, lines 20-21; column 7, lines 1-6; figure 2, ref. Num "242"] and **allowing processing to continue if the new registry security value is equal to the stored registry security value**.[Column 6, lines 32-36; column 10, lines 38-43] (The processing will not be allowed to continue if the new registry security value is not equal with the stored security value. If this is the case, that is if they are found to be different, then the comparison result will be reported.)

5.   **As per claims 19-20 and 25-27** Kathrow discloses an Apparatus **comprising**:

- **A bus**; [figure 1] (The bus is inherently included in the computer system shown on figure 1, it connects the cpu/processor with the memory or storage)

- **Storage device coupled to said bus**;[Figure 1, ref. Num "162" and "164") (The storage device shown on figure 1, ref. Num "162 and "164" are coupled to the processor by said bus as shown on figure 1) and

- **A processor coupled to said data storage device**, [figure 1, ref. Num "160" and "162" and "164")

- **Said processor operable to receive instructions which, when executed by the processor, cause the processor to [Column 3, lines 23-27; column 3, lines 27-56]**

- **Generating a user identity value [hash Value of the user Password] associated with a user identity**; (In Microsoft operating system, in the process of authentication, generation of a user identity value or the hash value of the user password is inherently included. For NT, user enters their password and the clients

hashes the user's password, and generates the hash value or user identity value and
encrypts the server's challenge with this hash and sends two responses to the server:
One response uses the LAN Manager hash and another response uses the stronger NT
hash. The server then compares the client's response hash with the client's hash in the
SAM Registry hive.)(For the explanation/source that the examiner used, see reference
U, page 2, second paragraph)

- **Storing the user identity value [hash value of the user password]**; (Storing
  the **client's hash** or **the user identity value** or **the hash value of the user password**,
  in the SAM Registry as explained above for the purpose of authentication is inherently
  included in the Microsoft operating system, NT) (For the explanation/source that the
  examiner used See reference U, page 2, second paragraph)

Furthermore **Kathrow** discloses

- **Generating a registry security value [Fingerprint of the registry file/s**
  which includes hash value of the Windows registry file/s] associated with a
  system registry; [Column 5, lines 11-25; column 4, lines 26-column 5, line 25;
  figure 2, ref. Num "222", ref. Num "232"]

- **Storing the registry security value**; [Column 5, lines 11-26; figure 2, ref. Num
  "232"] (content storage stores the fingerprint of the file shown on figure 2, ref.
  Num "232") and

- **Authenticating the system registry after reading the system registry**.(As
  explained in the disclosure and on the dependent claim 5, this limitation
  comprises

- **Generating a new registry security value [Fingerprint of the registry file/s which includes hash value of the Windows registry file/s]**; [Column 5, lines 41-62; figure 2, ref. Num "234"] (The new registry finger print is generated and stored on storage shown on figure 2, ref. Num "234"]

- **Comparing the new registry security value with the stored registry security value**; [Column 6, lines 20-21; column 7, lines 1-6; figure 2, ref. Num "242"] and **allowing processing to continue if the new registry security value is equal to the stored registry security value.**[Column 6, lines 32-36; column 10, lines 38-43] (The processing will not be allowed to continue if the new registry security value is not equal with the stored security value. If this is the case, that is if they are found to be different, then the comparison result will be reported.)

6.   **As per claims 3-4 and 12-13** Kathrow discloses a method as applied to claims 1 and claim 10 above. Furthermore **Kathrow discloses the method wherein** generating a registry security value associated with a system registry comprises: concatenating system registry information; and inserting the concatenated system registry information in a one-way function to obtain the registry security value. [Column 4, lines 26-column 5, line 25; figure 2, ref. Num "232"]

7.   **As per claims 5-6 and 14-15** Kathrow discloses a method as applied to claims 1 and 10 above. Furthermore **Kathrow discloses the method wherein authenticating the system registry after reading the system registry comprises:**

- **Generating a new registry security value [Fingerprint of the registry file/s which includes hash value of the Windows registry file/s]**; [Column 5, lines 41-62; figure 2, ref. Num "234"] (The new registry finger print is generated and stored on storage shown on figure 2, ref. Num "234"]

- **Comparing the new registry security value with the stored registry security value**; [Column 6, lines 20-21; column 7, lines 1-6; figure 2, ref. Num "242"] and **allowing processing to continue if the new registry security value is equal to the stored registry security value.**[Column 6, lines 32-36; column 10, lines 38-43] (The processing will not be allowed to continue if the new registry security value is not equal with the stored security value. If this is the case, that is if they are found to be different, then the comparison result will be reported.)

8.   **As per claims 21-22** **Kathrow** discloses an apparatus as applied to claim 19 above. Furthermore **Kathrow discloses an apparatus** wherein the processor operable to receive instructions which, when executed by the processor, cause the processor to generate a registry security value associated with a system registry comprises the processor to concatenate system registry information; and to insert the concatenated system registry information in a function to obtain the registry security value. [Column 4, lines 26-column 5, line 25; figure 2, ref. Num "232"]

9.   **As per claims 23-24** **Kathrow** discloses an apparatus as applied to claim 19 above. Furthermore **Kathrow discloses an apparatus** wherein the processor operable to receive instructions which, when executed by the processor, cause the processor to **authenticate the system registry after reading the system registry comprises the process** :

- **Generating a new registry security value [Fingerprint of the registry file/s which includes hash value of the Windows registry file/s]**; [Column 5, lines 41-62; figure 2, ref. Num "234"] (The new registry finger print is generated and stored on storage shown on figure 2, ref. Num "234"]

- **Comparing the new registry security value with the stored registry security value**; [Column 6, lines 20-21; column 7, lines 1-6; figure 2, ref. Num "242"] and **allowing processing to continue if the new registry security value is equal to the stored registry security value**.[Column 6, lines 32-36; column 10, lines 38-43] (The processing will not be allowed to continue if the new registry security value is not equal with the stored security value. If this is the case, that is if they are found to be different, then the comparison result will be reported.)

Conclusion

10.   The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.(See PTO-Form 892).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Samson B Lemma whose telephone number is 571-272-3806. The examiner can normally be reached on Monday-Friday (8:00 am---4: 30 pm).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, BARRON JR GILBERTO can be reached on 571-272-3799. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR
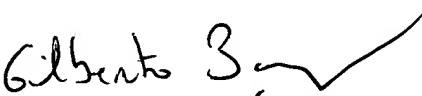
system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private

PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

SAMSON LEMMA

S·L·

03/16/2005

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